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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/378,226
Filing Date	August 19, 1999
First Named Inventor	Mark D. Riggins
Group Art Unit	2766
Examiner Name	Unknown
Attorney Docket Number	43630.00011

Total Number of Pages in This Submission

N/A

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## ENCLOSURES (check all that apply)

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| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)                     | <input type="checkbox"/> Assignment and Recordation Cover Sheet (for an Application) | <input type="checkbox"/> Request to Correct Filing Receipt                                 |
| <input type="checkbox"/> Amendment / Response   | <input type="checkbox"/> Drawing(s) _____ Sheets                                     | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences        |
| <input type="checkbox"/> With RCE   | <input type="checkbox"/> Licensing-related Papers                                    | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition  | <input checked="" type="checkbox"/> Return Postcard  |
| <input type="checkbox"/> Affidavits/declaration(s)  | <input type="checkbox"/> Request for Continued Examination                           | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request (in duplicate)                           | <input type="checkbox"/> Power of Attorney   | <input type="checkbox"/> Other Enclosure(s) (please identify below):                       |
| <input checked="" type="checkbox"/> 6 Reference(s)  | <input type="checkbox"/> Terminal Disclaimer   |  |
| <input checked="" type="checkbox"/> Supplemental Information Disclosure Statement (2 pages) | <input type="checkbox"/> Request for Refund  |  |
| <input checked="" type="checkbox"/> PTO Form 1449 (1 page)                                  | <input type="checkbox"/> CD, Number of CD(s) _____                                   |  |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application                  | Remarks  |  |
| <input type="checkbox"/> Declaration/Oath   |  |  |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm  
or  
Individual name

Marc A. Sockol, Reg. No. 40,823  
Squire, Sanders & Dempsey, L.L.P.  
600 Hansen Way  
Palo Alto, CA 94304-1043

Signature

Date

August 15, 2002

## CERTIFICATE OF MAILING

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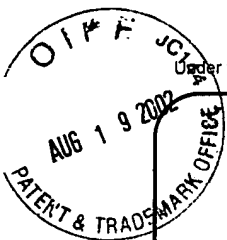
Sandy Yi

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0

## Complete if Known

Application Number 09/378,226  
Filing Date August 19, 1999  
First Named Inventor Mark D. Riggins  
Examiner Name Unknown  
Group / Art Unit 2766  
Attorney Docket No. 43630.00011

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## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None  
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Deposit  
Account  
Number 05-0150

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Account  
Name Squire, Sanders & Dempsey, L.L.P.

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
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## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

(\$ ) 0

### 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			0		0
			0		0
					0

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17 (q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ ) 0

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Marc A. Sockol	Registration No. Attorney/Agent)	40,823	Telephone	650.856.6500
Signature				Date	August 15, 2002

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

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Date: August 15, 2002

By: Sandy Yi  
Sandy Yi

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AUG 22 2002

Technology Center 2100

In Re Application of:	
Mark D. Riggins	Examiner: Unknown
Serial No.: 09/378,226	Art Unit: 2766
Filed: August 19, 1999	
For: SYSTEM AND METHOD FOR ENCRYPTING AND DECRYPTING FILES	

Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 CFR §§1.97(c) WITH CERTIFICATION**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56 and pursuant to 37 CFR §§1.97-1.98, Applicant hereby notifies the U.S. Patent and Trademark Office of the references listed on the enclosed Form PTO-1449. One copy of each cited reference is submitted herewith.

The present Supplemental Information Disclosure Statement is being filed after receiving the first office action and before receiving an action closing prosecution on the merits. Accordingly, as specified in §1.97(e)(1), Applicant's undersigned attorney hereby certifies:

That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the information disclosure statement.

The Examiner is requested to make this information of official record in the application. Please initial and return the enclosed Form PTO-1449, indicating that the references have been considered and made of record herein.

The information presented herewith is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

If for any reason an insufficient fee has been paid, please charge the insufficiency to Deposit Account No. 05-0150.

Date: August 15, 2002

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Palo Alto, CA 94304-1043  
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Respectfully submitted,

By: M A Sockol  
Marc A. Sockol, Esq.  
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